

FORM PTO-1300  
(REV 12-29-99)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

5367-US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/582952

INTERNATIONAL APPLICATION NO.  
PCT/US99/00475INTERNATIONAL FILING DATE  
09 January 1999PRIORITY DATE CLAIMED  
09 January 1998**TITLE OF INVENTION**

SYNTHESIS OF PHENSTATIN AND PRODRUGS THEREOF

**APPLICANT(S) FOR DO/EO/US**

G.R. PETTIT et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Copies of Verified Statement Claiming Small Entity Status - Independent Inventor as originally filed with US Provisional 60/070,878 filed January 9, 1998  
Certificate of Express Mail

PCT/US99/00475

5367-IIS

**CALCULATIONS**      **PTO USE ONLY**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**\$ 96.00**

**\$**

**\$ 0**

**\$156.00**

**+ \$260.00**

§

\$252.00

**\$126.00**

**\$126.00**

§

**\$ 126.00**

**\$**

**\$ 126.00**

Amount to be

**refunded**

Form PTO-1390 (REV 12-29-99) page 2 of 2

APPLICANT: GEORGE R. PETTIT et al.  
SERIAL NO.:  
FILED:  
FOR:

DOCKET NO. 5367

SYNTHESIS OF PHENSTATIN AND PRODRUGS THEREOF

VERIFIED STATEMENT CLAIMING SMALL ENTITY  
STATUS - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled SYNTHESIS OF PHENSTATIN AND PRODRUGS THEREOF described in the specification filed herewith.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

I acknowledge the duty to file, in this application, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application and any patent issuing thereon to which this verified statement is directed.

Date 1/7/98

George R. Pettit  
GEORGE R. PETTIT

APPLICANT:  
SERIAL NO.:  
FILED:  
FOR:

GEORGE R. PETTIT et al.

DOCKET NO. 5367

SYNTHESIS OF PHENSTATIN AND PRODRUGS THEREOF

VERIFIED STATEMENT CLAIMING SMALL ENTITY  
STATUS - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled SYNTHESIS OF PHENSTATIN AND PRODRUGS THEREOF described in the specification filed herewith.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

I acknowledge the duty to file, in this application, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application and any patent issuing thereon to which this verified statement is directed.

Date

1/7/97

  
BRIAN TOKI

424 Rec'd PCT/STO 07 JUL 2000

09/582952

Date: July 7, 2000

Attorney Docket No. 5367-US

CERTIFICATION UNDER 37 C.F.R. §1.10

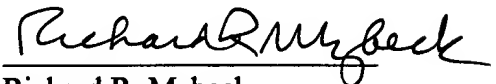
EL535208336US

"Express Mail" number

July 7, 2000

Date of Deposit

I hereby certify that this Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, Copy of Verified Statement Claiming Small Entity Status – Independent Inventor, Declaration and Check (no. 536737 \$126.00), is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box PCT Application, Assistant Commissioner of Patents, Washington, D.C. 20231.



Richard R. Mybeck

Reg. No. 17,886